

MWI 8040.7

BASELINE

EFFECTIVE DATE: May 31, 2001

EXPIRATION DATE: May 31, 2006

MARSHALL WORK INSTRUCTION

ED01

CONFIGURATION MANAGEMENT AUDITS, MSFC PROGRAMS/ PROJECTS

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DOCUMENT HISTORY LOG

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1. PURPOSE

This Marshall Work Instruction (MWI) establishes responsibilities and guidelines for planning and conducting a configuration management (CM) audit for Marshall Space Flight Center (MSFC)-managed projects to ensure compliance with Center requirements for in-house projects and contractual requirements for out-of-house projects.

2. APPLICABILITY

The requirements of this document are applicable to all MSFC-managed projects.

3. APPLICABLE DOCUMENTS

3.1 MPG 8040.1, "Configuration Management, MSFC Programs/Projects"

3.2 MPG 1440.2, "MSFC Records Management Program"

4. REFERENCES

None

5. DEFINITIONS

5.1 Auditee is the organization being audited.

5.2 Auditor refers to the team members conducting a configuration management audit.

5.3 Project, as contained herein, refers to either program or project, as applicable.

6. INSTRUCTIONS

6.1 General Instructions. The requirement for conducting configuration management audits is contained in MPG 8040.1, "Configuration Management, MSFC Programs/Projects." The configuration management audit may be either a one-part or a two-part audit. The project manager will determine which type is to be conducted.

6.1.1 One-Part Audit. A one-part audit normally covers all aspects of configuration management as defined and addressed in

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Chapter 1. The auditor is responsible for reviewing and evaluating all areas of configuration management. However, the auditor does have the option of limiting the audit to specific areas of configuration management.

6.1.2 Two-Part Audit. A two-part audit is conducted in two phases; i.e., Phase I and Phase II. In Phase I, the auditee performs an indepth self-assessment of their configuration management system, documenting their findings/observations and recommendations. Personnel responsible for the work and who perform the work are in the best position to identify problems and assist in finding and correcting specific and systemic problems. Phase II consists of reporting the results of Phase I to the auditor, who is responsible for determining the validity and adequacy of the findings/observations and recommendations, and ensuring that the required corrective actions are implemented. The auditor will not normally conduct an indepth review of the areas addressed in Phase I but retains the option to do so if necessary. The auditor may also audit other areas of the configuration management system not addressed in Phase I.

6.2 Specific Instructions. The specific requirements for the conduct of the configuration management audit are contained in Chapter 1.

7. NOTES

None

8. SAFETY PRECAUTIONS AND WARNING NOTES

None

9. RECORDS

The MSFC Configuration and Data Management Group will maintain and disposition audit findings/observations and reports in accordance with MPG 1440.2 and the project approved records plans.

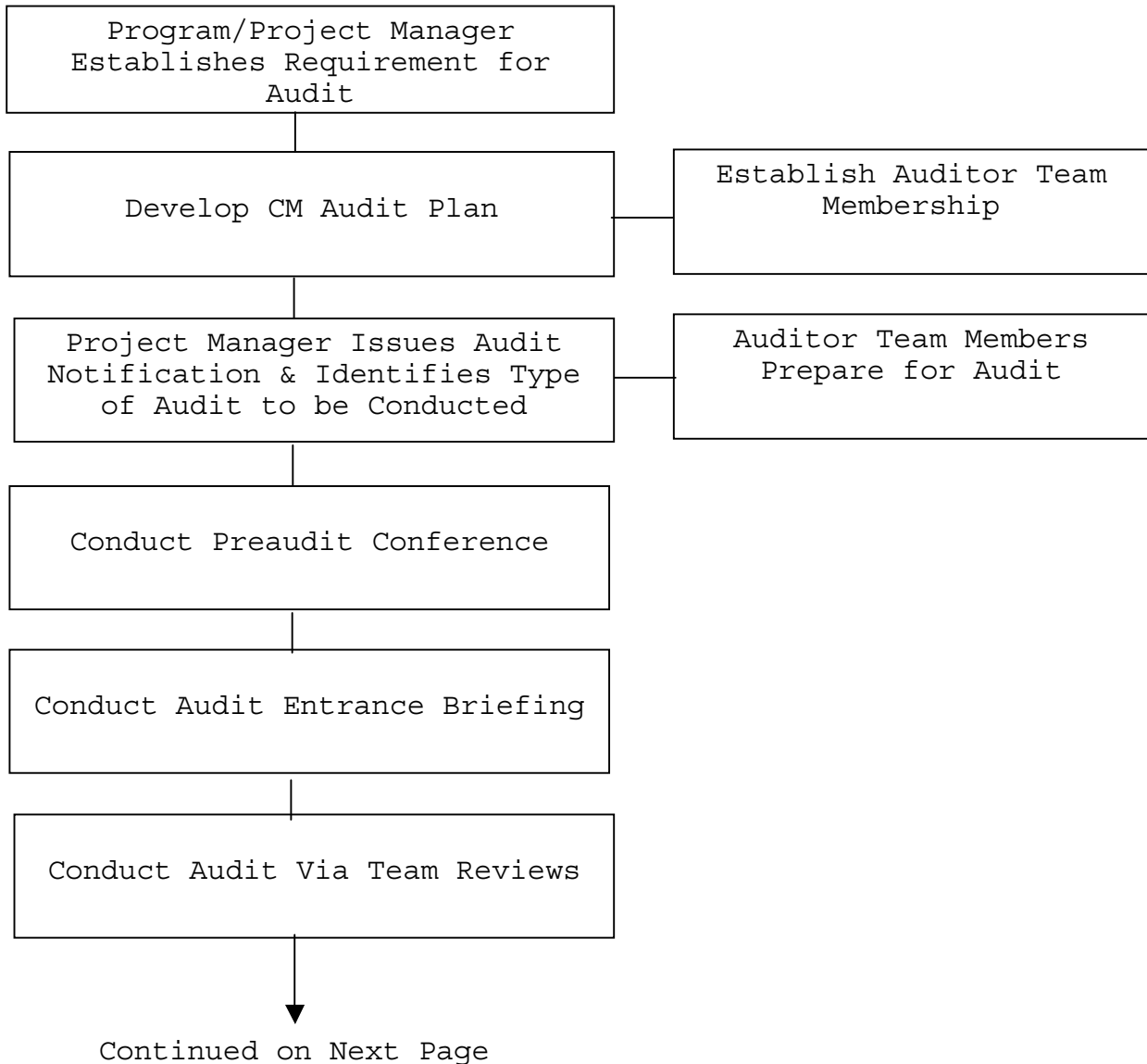
10. PERSONNEL TRAINING AND CERTIFICATION

None

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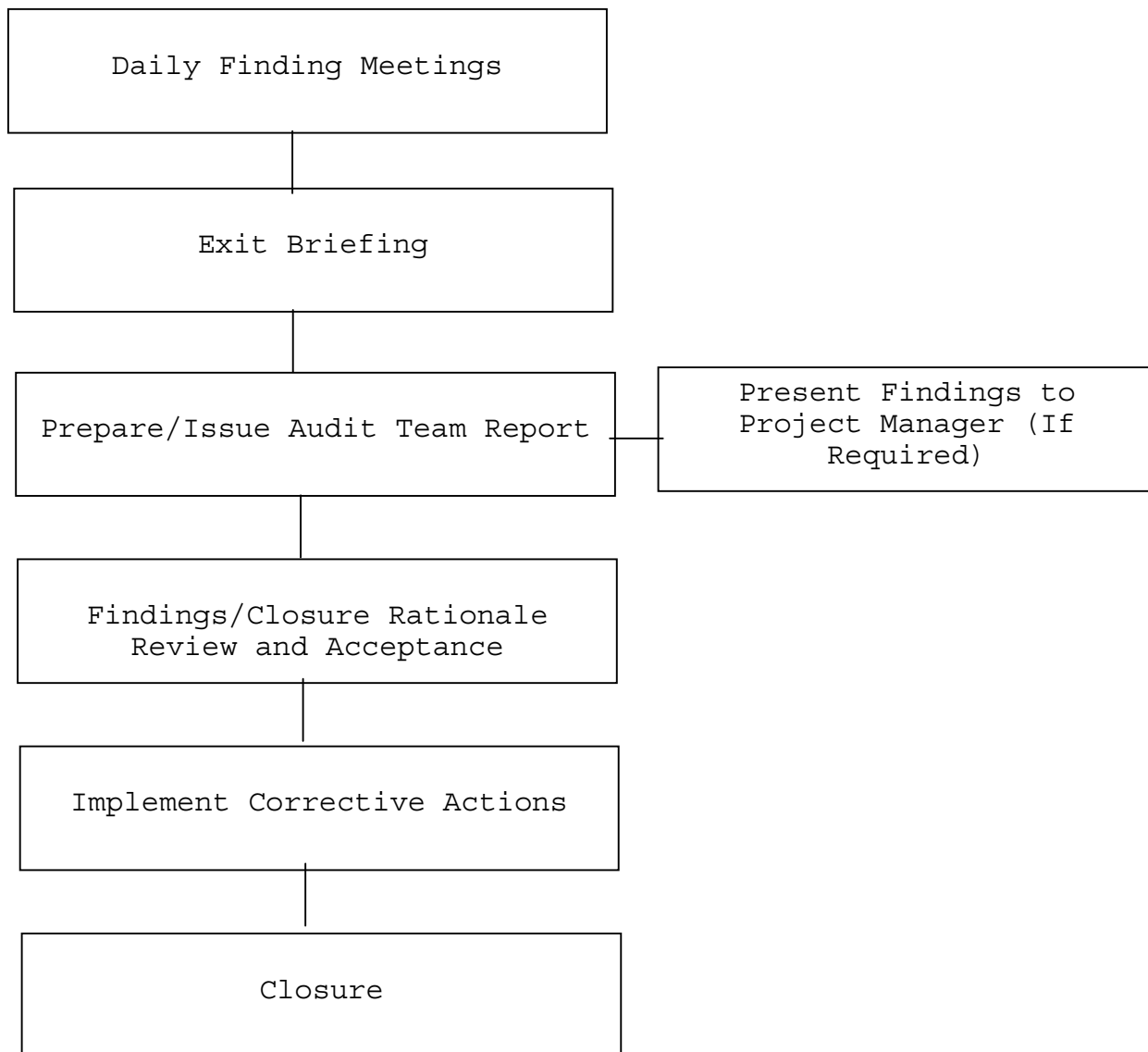
11. FLOW DIAGRAM

ONE-PART CONFIGURATION MANAGEMENT AUDIT



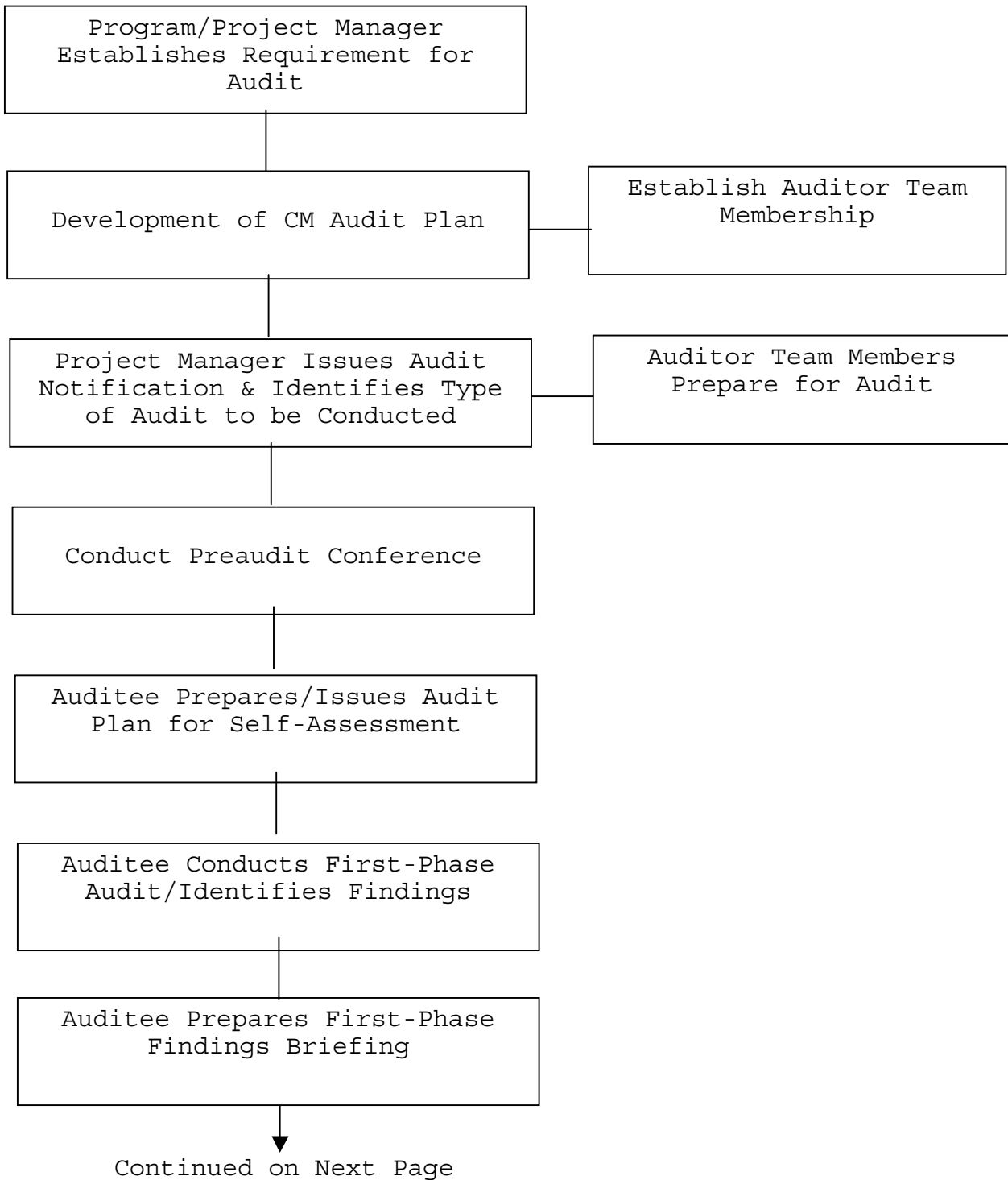
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ONE-PART CONFIGURATION MANAGEMENT AUDIT (Cont'd)



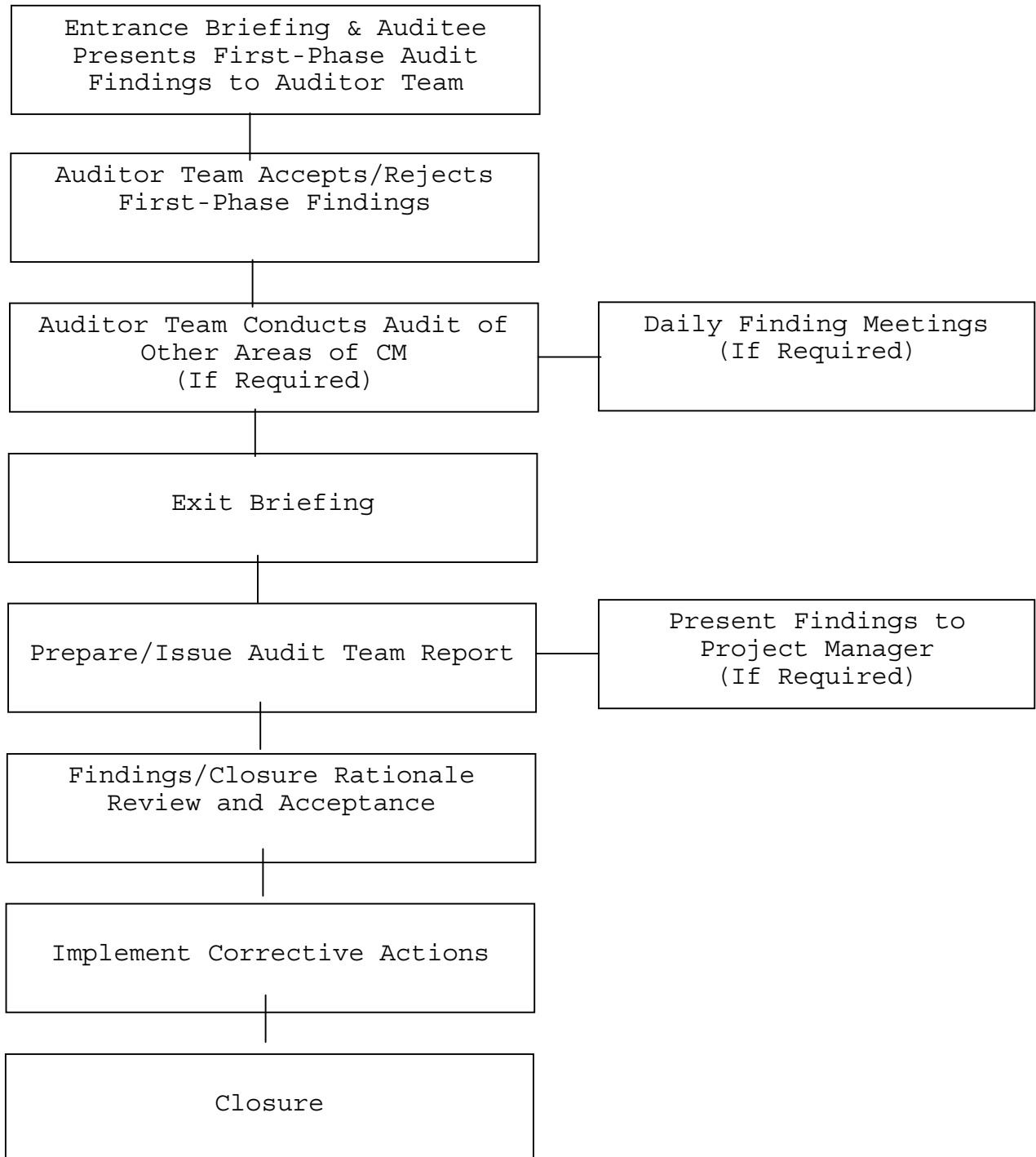
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TWO-PART CONFIGURATION MANAGEMENT AUDIT



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TWO-PART CONFIGURATION MANAGEMENT AUDIT (Cont'd)



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12. CANCELLATION

MSFC-PROC-1916, "Configuration Management Audit Procedures for MSFC Programs/Projects," dated January 30, 1992

Original Signed by
Sidney P. Saucier for

A. G. Stephenson
Director

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CHAPTER 1

CH1.1 Purpose

This chapter defines the requirements and guidelines to be followed in a configuration management audit. The purpose of the audit is to ensure that the auditee is compliant with the configuration management requirements of the project. That is, the configuration baseline is correctly defined, controlled, accounted for and verified, and any required corrective actions resulting from the audit are implemented.

CH1.2 Configuration Management Audit Notification

The project manager will provide formal notification to the auditee that an audit will be conducted. As a minimum, this notification will identify the location, date and time of the audit, the project audit team membership, and the requirements of the audit, or reference the audit plan for these items. The notification will also transmit the plan to be used for the audit. The notification letter should identify the type of audit (one-part or two-part) to be conducted.

CH1.2.1 The following is an example for the one-part audit:

"The MSFC Configuration Management Audit Team will perform an indepth evaluation within the scheduled timeframe of the configuration management program and related activities. The audit will be conducted in accordance with the following paragraphs."

CH1.2.2 The following is an example for the two-part audit:

"This audit will be a two-part audit. Phase I will consist of a self-assessment performed by (identify the contractor/MSFC in-house organization) personnel who are involved in and knowledgeable of the configuration management requirements, procedures and processes, procurement, engineering, manufacturing planning, manufacturing, and quality control operations. (Identify the contractor/MSFC in-house organization) will review and evaluate their compliance with contractual/project-imposed configuration management requirements (or specific identified requirements) and their internal configuration management requirements and procedures. This assessment activity will be conducted jointly with all members of the team to ensure that each of the respective disciplines and functional entities interface with those who are generating the requirements and

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those who are implementing the requirements. The purpose of this activity is to ensure compliance with the external and internal imposed requirements and to identify any problems associated with the implementation of the requirements. (Identify the contractor/MSFC in-house organization) will document their findings/observations and recommended corrective actions.

Phase II will be an assessment by the auditor of the Phase I findings and recommendations and any indepth review determined necessary by the auditor.

CH1.3 Configuration Management Audit Plan

A configuration management audit plan will be prepared and approved by the project and will define the requirements and guidelines to be applied during the audit. The MSFC Configuration and Data Management Group will assist in the preparation of the plan. The plan will define the type (one-part or two-part) of audit required.

CH1.4 Configuration Management Audit Plan Content

The following is the suggested configuration management audit plan format and content.

CH1.4.1 Purpose

This plan defines the requirements and guidelines to be followed in the (project name) configuration management audit.

CH1.4.2 Objective

The first objective of this audit is to verify the adequacy of the (project name) configuration management system and to ensure compliance with (identify contractual or in-house document). The second objective is to define the required corrective action for inadequacies and noncompliances identified during the audit.

CH1.4.3 Audit Baseline

Identify the documents that define the baseline to be used for the audit.

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CH1.4.4 MSFC Audit Team Membership

Identify the chairperson and team members. The MSFC Configuration and Data Management Group, in conjunction with the project manager, will appoint the team chairperson and membership.

CH1.4.5 Audit Location and Schedule

Identify the location and schedule for the audit.

CH1.4.6 Administrative Support

Identify the administrative support to be provided by the auditee. Normally, this support includes meeting facilities, clerical support, telephones, computers and associated equipment, office space and furnishings, reproduction equipment, and sufficient sets of organizational configuration management instructions and procedures for the team members. The instructions and procedures should be provided to the team chairperson at least a week prior to the start of the audit in order that the auditor has adequate time to review and become familiar with the appropriate data and information. Also, the auditee should be aware that additional information and associated documents might be required during the audit. Lead times for the provisioning/installation of telephones, computers, and copiers must be accounted for in the audit schedule. Lead times are normally defined in each respective contract; if not, they shall be included in each audit plan. Lead times for in-house MSFC locations where no services exist are 1-3 days for telephones, 10 working days for computers, and 30 days for copiers.

CH1.4.7 Configuration Management Support

Identify the required support to be provided by the auditee. This should include at least one senior configuration management individual assigned solely and full-time for the duration of the audit. Additionally, other applicable individuals should be available to meet with the team members for the purpose of answering questions, providing information and data, explaining procedures and operations, etc.

Further, the auditee should identify and provide a senior representative who has the authority to obligate the organization and accept, reject, or negotiate the team's findings/observations. This responsibility includes

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documentation/submission of any proposals for closure and documentation submittal of root cause.

CH1.4.8 Audit Process

CH1.4.8.1 Preaudit Activities

NOTE: Applicable to both one-part and two-part audits.

Preaudit activities will consist of the following:

a. Team Preparation. Each audit team member will be required to be familiar with the audit baseline and the applicable requirements, procedures, instructions, etc., in order to efficiently and effectively accomplish the audit. Each member will be preassigned specific area(s) of responsibilities by the team chairperson.

b. Preaudit Conference. A preaudit conference will be held between the auditor and auditee in order to review the following:

- (1) Address the purpose and objectives of the audit.
- (2) Address the logistical aspects of the audit.
- (3) Identify required documentation in advance by the team members.
- (4) Discuss areas to be audited and the manner in which the audit will be conducted.
- (5) Determine the status of administrative functions, which must be prearranged in order to achieve an effective and efficient audit.

CH1.4.8.2 Audit Activities

NOTE: Applicable to both one-part and two-part audits.

a. Entrance Briefing. An entrance briefing will serve as the initiation of the audit. The chairperson will outline the audit activities, schedules, responsibilities, and the method of documenting findings/observations. The auditee will address their organization and operations, specific subjects of interest that have been requested via the preaudit conference, and any other subjects which the organization believes will be beneficial to the audit team.

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b. Audit Focus. The audit normally will be focused on the following areas of configuration management:

- (1) Organization
- (2) Configuration Identification
- (3) Change Control
- (4) Change Status and Accounting
- (5) Subcontractor/Vendor Configuration Management
- (6) Drawing Release System
- (7) Documentation Release System
- (8) Configuration Verification

The focus areas may be limited to specific areas as deemed appropriate. In the event different areas of focus are to be addressed in a two-part audit, each area will be duly noted by the respective part of the audit.

c. Team Reviews. The audit will be conducted in accordance with the plan, as defined in the audit notification letter. Phase I will be conducted in accordance with the plan prepared by the auditee. An audit checklist is provided in Figure 1. The checklist may be used as determined appropriate. The audit procedure may include group presentations, one-on-one interviews, review of procedures and processes, analysis of auditee change proposal and change implementation documentation, engineering, manufacturing planning, and observation of systems operation.

d. Team Findings/Observations. All noted concerns will be identified and documented using the Audit Finding/Observation Record (reference Figure 2 that provides the format to be followed; sizing of the various areas for the headings is optional). The findings/observations will contain the following:

- (1) An accurate description of the finding/observation in sufficient detail to provide conclusive definition and evidence of the existing situation, and
- (2) An indication of the level of concern using the "finding" and "observation" categories as defined below.

Finding - The program/system deficiencies or irregularities noted in the areas, which are controlled by the MSFC project. Recommendations in these areas are intended to realign the system to conform to contractual requirements and/or internal requirements and procedures to prevent recurrence of the finding.

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Observation - The program/system deficiencies or irregularities noted in areas not directly controlled by the MSFC project that needs improvement for maximum effectiveness. Recommendations in these areas are intended to provide the program/system element with a more effective system.

NOTE: Any findings/observations that pertain to flight safety or are mandatory to be corrected prior to the next application of the respective task/operation will be so noted on the Audit Finding/Observation Record.

e. Daily Briefing. A daily briefing will be held at a specified time to present findings/observations when identified. This activity may also address recommended corrective actions and target dates for closures. A copy of the findings/observations will be provided to the auditee. The auditee senior representative will be given the opportunity to accept/reject/modify the findings/observations and provide alternate proposals for corrective actions and closure rationale.

f. Two-part Audit Review. When a two-part audit is conducted, the findings/observations from Phase I will be presented to the MSFC audit team who is responsible for determining the validity and acceptability of the finding and recommended corrective action.

g. Exit Briefing. An exit briefing will be held with the auditee to present the results of the audit and, as a minimum, present and discuss the findings/observations and any unresolved issues. A copy of each finding/observation will be presented to the auditee. Any unresolved issues will be subsequently presented to the project manager for resolution.

h. Auditee Closure Rationale. On the audit finding/observation record, in box 6, the auditee will indicate the closure rationale, including the root cause, and will provide a completion date.

CH1.4.8.3 Post-Audit Activities

The following activities will occur following the completion of the audit:

a. Audit Report. The chairperson will prepare a written report addressing the team's activities and findings/observations. The report may, in addition to the findings/observations, recommend requirements or procedural changes to the auditee's configuration

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management system. This report will be provided to the project manager by memorandum within 30 calendar days following the conclusion of the audit. If desired by the project manager, a team briefing will be provided. A sample configuration management audit report is provided in Figure 3.

b. Audit Closure. The project Configuration Control Board (CCB) secretariat will track each finding/observation through closure. The closure paper will be routed to the finding/observation initiator and then to the chairperson for concurrence before submitting to the project manager for approval. If either the finding/observation initiator, chairperson, or project manager nonconcurs with the proposed closure, rationale for the nonconcurrence will be documented and attached to the closure form. If there were any findings/observations that the auditee would not accept and the project manager accepted, the project office will provide formal notification to the auditee that the findings/observations are approved and corrective action is required.

c. Audited Organization. The auditee will implement the corrective actions as authorized by the project manager. The auditee will provide monthly status reports of findings/observations until all open findings/observations have been closed. This report will include pertinent data regarding the findings/observations; e.g., tracking number, subject, resolution submittal date, project receipt date, closure notification and date, and any pertinent remarks. If it is determined that a finding or observation cannot be closed by its scheduled due date, the auditee will notify the chairperson explaining why the action cannot be completed by the scheduled due date and propose an alternate closure date. A mutually agreed upon revised scheduled due date will be established.

d. Revisions to Closure Action. If a revision to a closed finding/observation is required after all signatures have been obtained, the CCB secretariat will initiate a new audit finding/observation record and identify it with a revision notation.

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FIGURE 1. CONFIGURATION MANAGEMENT AUDIT CHECKLIST

	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	GENERAL			
1	Is there adequate staffing of the Configuration Management Office (CMO)?			
2	Are CMO personnel areas of responsibility clearly defined?			
3	Are all applicable areas of CM staffed?			
4	Are personnel knowledgeable in their area of responsibility?			
5	What is the organizational relationship of the CMO to the project manager?			
6	Does the CMO have a direct line of communication with the project manager?			
7	Are the organizational relationships of the CMO and the other organizations documented?			
8	Is software CM handled by separate CM procedures?			
9	Is there a CM plan approved by MSFC?			
10	Are there any authorized deviations to contractual/in-house CM requirements?			
11	Are changes made to the approved CM plan in accordance with established project requirements?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	CONFIGURATION IDENTIFICATION			
1	Is an equipment-planning chart (drawing tree) available down to the lowest repairable or spare part?			
2	Is there a specification tree?			
3	Is documentation (specifications, drawings, etc.) used to document requirements in accordance with project requirements?			
4	Are practices used for the preparation and maintenance of baseline documents in accordance with project requirements?			
5	Are responsibilities of each functional organization for identifying baseline documentation consistent and logical?			
6	Is the method(s) used for assigning and controlling identification numbers (CEI drawings, serial, and lot) in accordance with project requirements?			
7	Does the system have vertical traceability of requirements?			
8	Are the practices for scheduling, tracking, releasing, and maintaining identification of documentation to be baselined in accordance with project requirements?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	CONFIGURATION IDENTIFICATION (continued)			
9	Are modification kits identified in accordance with project requirements?			
10	Is the process used to identify, schedule, and track baseline documentation to be prepared and released in accordance with project requirements?			
11	What process is used to establish interface requirements?			
12	Are interface requirements referenced on released drawings?			
13	Are interface requirements established and contained in the requirement specification?			
14	Are subcontractors and vendors required to implement configuration identification?			
	CONFIGURATION CONTROL			
1	Is there a system for establishing configuration baselines, processing engineering changes, and making deviations and waivers to established baselines?			
2	Does a change integration and tracking system exist?			
3	Does the change integration and tracking system provide appropriate data to ensure total implementation of approved changes?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	CONFIGURATION CONTROL (continued)			
4	Are Class I and Class II criteria defined?			
5	Has a CCB been chartered?			
6	Have the CCB membership and associated responsibilities been defined?			
7	Are the duties and functions of the CCB defined?			
8	Are changes being properly classified as Class I/Class II?			
9	Are change proposals adequate, descriptive, and timely, and do they include/identify all affected documents?			
10	Is there an adequate process for scheduling and presenting changes to the CCB?			
11	Who is responsible for scheduling and presenting changes to the CCB?			
12	Are engineering change proposals evaluated by appropriate organizations, including contractors if affected, to determine impact against engineering, production, reliability, planning, schedules, cost, logistics support, safety, and training efforts?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	CONFIGURATION CONTROL (continued)			
13	Is the mechanism, documentation, and process used for proposing emergency changes at the launch site adequate?			
14	Is there a system to control interface requirements?			
15	Is the method used to document CCB decision and assign implementation instructions adequate?			
16	Does the time period between decision being made and issuance of instructions by the CCB support the project's needs?			
17	After field "make work" changes are authorized, are affected drawings updated and subsequent effectivities corrected by normal change paper?			
18	Are the approved configuration baselines clearly identified to all applicable organizations?			
19	Are software changes processed via the CM system?			
20	Do the CM master change files identify a change, its status, associated impacts, affected documentation (or identification thereof), contract status, and implementation status?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	CONFIGURATION CONTROL (continued)			
21	Do the master files include both Class I and Class II changes?			
22	Is there a system for processing and controlling critical processes and components?			
23	Are Material Review Board actions processed in accordance with project requirements?			
24	Is there a system for controlling/changing part numbers?			
25	Is identification of the change approval authority on the engineering change documentation or in engineering release records?			
26	Are the practices concerning modification kits and instructions for incorporation of changes to delivered end items in accordance with project requirements?			
27	Is there a mechanism to prevent unauthorized changes?			
28	Is there a system for processing and controlling non-technical changes?			
29	Do subcontractors or vendors initiate a system for processing and controlling changes?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	CONFIGURATION CONTROL (continued)			
30	Are the subcontractors and vendors required to implement configuration control?			
31	Are MSFC-directed changes properly impacted and implemented?			
32	Does the CMO maintain a library of all documentation controlled by the MSFC project office and the design activity?			
	CONFIGURATION ACCOUNTING			
1	Do configuration identification indexes and modification status reports exist?			
2	Does the accounting system include all mandatory data?			
3	Is the frequency for updating the accounting system in accordance with project requirements?			
4	Is the configuration accounting system automated?			
5	Does management use the configuration accounting system?			
6	Is the configuration management accounting system being used properly?			
7	Are the configuration accounting records timely/accurate?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	CONFIGURATION ACCOUNTING (continued)			
8	Are proposed but not approved changes entered in the system?			
9	Are Class II changes entered into the system?			
10	Does the accounting system include deviations and waivers?			
11	Is compatibility with project office configuration accounting system maintained?			
12	Is there a requirement to conduct periodic review and "redline" of the MSFC Configuration Identification Index and Status Report and the ICD Index and Status Report?			
13	Does the accounting identify serial or lot numbers?			
14	Are serial/lot numbers recorded on next assembly build paper?			
15	Are serial numbers/lot numbers shown on as-built configuration list?			
16	Are components or piece parts used that are not serialized or lot numbered? If so, what is the tracking procedure? Need to discuss intent.			
17	Are there any unique requirements for release of software and critical process documentation?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	CONFIGURATION ACCOUNTING (continued)			
18	Is "open"/transfer work tracked?			
19	How are modification kits tracked?			
20	How are modification kits closed out?			
21	Are modification kits tracked against major milestones?			
22	Does the as-built definition include deviations/waivers?			
	DOCUMENTATION RELEASE			
1	Are the practices for drawing/document release in accordance with project requirements?			
2	Does the process identify documentation required to be controlled by the release desk?			
3	Is there evidence that the required signatures/approvals are affected prior to release?			
4	Are engineering orders to drawings incorporated in accordance with project requirements?			
5	Are Class I and Class II engineering change packages completely released prior to formal acceptance of the end item unit where first installed?			
6	Is production change effectivity called out in release records?			

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	AUDIT SUBJECT	Acceptable Y/N	Documented Y/N	Procedure in Compliance Y/N
	DOCUMENTATION RELEASE (Cont'd)			
7	Do manufacturing and quality verify they have the correct released documentation for the particular end item being produced?			
	CONFIGURATION VERIFICATION			
1	Are deltas between the as-designed and the as-built configuration identified?			
2	Does the change verification system provide a clear audit trail from change authorization to incorporation for all items of the change package?			
3	How are configuration management reviews and inspections conducted?			
4	Are Review Item Discrepancies (RIDs) tracked and closed?			
5	Do CM personnel have a role in design reviews and configuration inspections?			
6	Does the verification process include subcontractor/vendor engineering changes?			

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FIGURE 2. AUDIT FINDING/OBSERVATION RECORD

AUDIT FINDING/OBSERVATION RECORD

ONE-PART ☐

TWO-PART

PHASE I ☐

PHASE II ☐

Project: _____ Date: _____

Tracking Number: _____ Finding ☐ Observation ☐

1. Description:

2. Auditor Comments (If Necessary)

3. Proposed Due Date (Provided By Auditee):

4. Evaluator: _____
Date: _____

5. Concurrence:

Chairperson: _____	Audited Senior Representative: _____
Date: _____	Date: _____

6. Closure Rationale: (Include Root Cause)

Completion Date: _____

7. Closure Approval:

Auditee

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CONFIGURATION MANAGEMENT AUDIT REPORT

1. SUMMARY

An audit of (auditee) CM program was conducted by an MSFC team at the organization's facilities at (location of audit) during the period (inclusive dates of audit). The audit was conducted as delineated in the configuration management audit notification letter and attached plan. See attachment.

A total of (number of findings) findings and (number of observations) observations were identified during the audit. (Insert a brief synopsis of any significant findings/observations, or any problems that may have occurred during the audit.)

2. AUDIT ACTIVITIES

2.1 Purpose. The purpose of the audit was to review and evaluate the (Project) configuration management system and operations to ensure compliance with requirements, provide guidance for improved operation, and to identify inadequacies in procedures and operations.

2.2 Audit Baseline. The audit baseline consisted of the following, as applicable:

2.2.1 The applicable portion of contract/statement of work

2.2.2 The applicable data requirements

2.2.3 The baselined copy of the configuration management plan

2.3 MSFC Audit Team Organization. The MSFC audit team was composed of the following:

Chairperson: _____
 Member: _____
 Member: _____
 Member: _____
 Member: _____

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Configuration Management Audits, MSFC Programs/Projects	MWI 8040.7	Revision: Baseline
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2.4 Audit Process

2.4.1 The audit was conducted using the following audit techniques:

2.4.1.1 Comparison of MSFC requirements against (*auditee*) policies, plans, procedures, etc.

2.4.1.2 Personnel interviews.

2.4.1.3 Group presentations/briefings.

2.4.1.4 Inspection/analysis of change documentation, reports, manufacturing work authorization documents, etc.

2.4.2 The major elements reviewed/addressed via the audit were as follows: (*Insert appropriate areas covered during audit.*)

2.5 Exit Briefing

A formal exit briefing presentation was provided to (auditee) management by the MSFC audit team. The findings/observations were reviewed and discussed.

3. FINDING/OBSERVATION, TRACKING, AND CLOSURE

Attachment 1 contains all findings/observations of the (*specify one-part or two-part audit*). Each finding/observation will be tracked by the MSFC (*Project*) Office CCB secretariat until formal closure. The MSFC audit team chairperson will concur or non-concur with the proposed closure, and the project manager will take the action to formally close the finding/observation.